



一中證券有限公司  
**One China Securities Ltd.**

香港中環德輔道中 86 號章記大廈 2 字樓  
 電話: 3188 2299 傳真: 3188 9838

\*僅供內部使用 For Internal Use Only

Cash Account No.

Account Open Date

AE Name

**Cash Account**

開戶申請表格 **ACCOUNT OPENING FORM**

(個人帳戶 Individual Account)

|   |   |
|---|---|
| <b>帳戶類別</b><br><b>Type of Account</b><br><br>(請以 <input checked="" type="checkbox"/> 選擇)<br>(Please <input checked="" type="checkbox"/> as appropriate) | <input type="checkbox"/> 港幣個人現金戶 <input type="checkbox"/> HKD Individual Cash Account<br><input type="checkbox"/> 分戶 Sub A/C <input type="checkbox"/> 美元 USD <input type="checkbox"/> 人民幣 CNY |
|---|---|

**個人資料 Personal Information**

|  |  |  |  |
|--|--|--|--|
| <b>1. 客戶姓名 Client Name</b><br>英文姓氏 Surname                      英文名字 First and Middle Name                      中文姓名 Chinese Name<br>_____   |  |  |  |
| <b>2. 性別 Gender</b> <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female  |  |  |  |
| <b>3. 證件類型 Type of Certificate</b> (請 <input checked="" type="checkbox"/> 選一項 Please <input checked="" type="checkbox"/> one)<br><input type="checkbox"/> 香港居民身份證 HKID<br><input type="checkbox"/> 中國公民身份證 Chinese (PRC) Citizens ID<br><input type="checkbox"/> 中國護照/內地港澳通行證 Mainland China Passport / Exit-entry Permit for Travelling to and from HK and Macau<br><input type="checkbox"/> 其他國家/地區護照 Other Country Passport _____ |  |  |  |
| <b>4. 證件號碼 ID/Passport No.</b>   |  |  |  |
| <b>5. 出生日期 Date of Birth</b> 日 Day                      月 Month                      年 Year  |  |  |  |
| <b>6. 出生地 Place of Birth</b>   |  |  |  |
| <b>7. 婚姻狀況 Marital Status</b> <input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married   |  |  |  |
| <b>8. 教育程度 Education Background</b><br><input type="checkbox"/> 研究學位 Postgraduate Degree<br><input type="checkbox"/> 大學/大專程度 Bachelor/Post-Secondary<br><input type="checkbox"/> 中學程度 Secondary<br><input type="checkbox"/> 小學程度 Primary   |  |  |  |
| <b>9. 國籍 Nationality</b>   |  |  |  |
| <b>10. 主要居留地 Primary Residence</b>   |  |  |  |

## 聯絡資料 Contact Details

**11. 住宅地址 Residential Address** (郵箱號碼恕不接受 P.O. Box not accepted)

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**12. 物業 Property**

自置/按揭物業\* Owned/Mortgaged\*

親屬物業 Relative Owned

公司宿舍 Company Quarters

租賃\* Rented\*

\*每月租金/按揭還款 Monthly Rent/Mortgage Payment \_\_\_\_\_

**13. 手提電話 Mobile Telephone**

**14. 住宅電話 Home Telephone**

**15. 公司電話 Office Telephone**

**16. 傳真 Fax**

**17. 電郵地址 Email Address**

**18. 就業狀況 Occupation** (請☑選一項 Please ☑ one)

受僱 Employed

自僱 (請在第 20 項列明業務性質) Self-employed (please specify Industry at Part 20)

待業 Unemployed

退休 Retired

其他, 請列明 Others, please specify \_\_\_\_\_

**19. 公司名稱 Company Name**

**20. 業務性質 Industry**

證券 Securities / 金融 Finance

其他, 請列明 Others, please specify \_\_\_\_\_

**21. 職銜 Position**

任職 For

年 Years

**22. 公司地址 Business Address**

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**23. 閣下是否香港證券及期貨事務監察委員會(證監會)註冊公司僱員?**

**Are you an employee of a company registered with the Securities and Futures Commission (SFC) of Hong Kong?**

否 No

是 Yes (請提供閣下僱主的書面同意書 Please attach a written consent from your employer)

### 遞送帳戶結單 Delivery of Account Statements

24. 主要通訊語言 Preferred Communication Language       中文 Chinese       英文 English

25. 通訊地址 Correspondence Address

- 住宅地址 Residential Address  
 公司地址 Business Address  
 其他，請列明 Others, please specify

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26. 文件送達方式 Mode of Delivery

- 郵寄\* By Mail\*       電郵 By Email

\* 郵寄結單列印版本的行政費為每月港幣20元，費用會從閣下的證券帳戶內收取。

\* A monthly handling fee of HKD20 will be charged to your Securities Account for mailing of statement.

### 投資紀錄及客戶概況 Investment and Customer Profile

有關財政狀況、投資經驗、投資目標及資金/財富來源的資料僅作參考之用。此為了遵守香港證券及期貨事務監察委員會(證監會)所訂立的操守準則。  
The information of financial situation, investment experience, investment objectives and source of funds/wealth are collected for reference only.  
This is to comply with the Code of Conduct of Securities and Futures Commission (SFC) in Hong Kong.

27. 投資目標 Investment Objective (可選多於一項 Can choose more than 1 categories)

- 期限 Period     長線 Long Term       中線 Medium Term       短線 Short Term  
(超過 1 年 Over 1 year)      (3 個月至 1 年 3 months to 1 year)      (少於 3 個月 Less than 3 months)
- 目標 Objective     穩定收入 Stable Income       資本增值 Capital Gain       投機 Speculating

28. 投資知識 Investment Knowledge

- 缺乏 None       一般 Fair       良好 Good       豐富 Extensive

29. 投資經驗 Investment Experience

- 缺乏 None       一般 Fair       良好 Good       豐富 Extensive

30. 投資類別 Type of Investment (可選多於一項 Can choose more than 1 categories)

- 股票 Equity       認股證 Equity Warrants       衍生權證 Derivatives Warrants  
 債券 Bonds       牛熊證 Callable Bull/Bear Contracts       交易所買賣基金 Exchange-Traded Fund (ETF)

31. 估計淨資產值 Estimated Net Worth

- HK\$500,000 以下 Below       HK\$500,000 – HK\$3,000,000  
 HK\$3,000,001 – HK\$8,000,000       HK\$8,000,000 以上 Over

32. 每年收入 Annual Income

- HK\$250,000 以下 Below       HK\$250,000 – HK\$500,000  
 HK\$500,001 – HK\$1,000,000       HK\$1,000,000 以上 Over

33. 資金/財富來源 Source of Funds/Wealth (可選多於一項 Can choose more than 1 categories)

- 薪金/收入 Salary/Income       生意營運 Own Business       累積投資 Investment  
 遺產/禮物 Inheritance/Gift       其他，請列明 Others, please specify \_\_\_\_\_

34. 資金/財富來源地 Country of Sources of Funds/Wealth (可選多於一項 Can choose more than 1 categories)

- 香港 Hong Kong       中國 China       澳門 Macau  
 美國 United States       其他，請列明 Others, please specify \_\_\_\_\_

35. 準備投資證券之金額 Funds/Wealth available for Securities Trading : \$

## 衍生工具產品的認識評估 Assessment on Knowledge of Derivatives Products

36. 客戶曾接受有關衍生產品的培訓或修讀相關課程？

The Client attended trainings or courses in relation to derivative products?

是 Yes  否 No

37. 客戶現時或過去擁有與衍生產品有關的工作經驗？

The Client has current or previous work experience related to derivative products?

是 Yes  否 No

38. 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、交易所買賣基金及期貨或期權合約等。

The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Fund and Futures/Options, etc.

是 Yes  否 No

39. 客戶投資意向 Client Investment Intentions

是，本人有意於一中證券有限公司進行衍生產品買賣交易。本人現謹此確認根據以上的評估，本人對投資衍生產品已有經驗及/或認識。本人亦確認已完全明白各類衍生產品所附帶的相關風險。一中證券有限公司沒有向本人作出衍生產品買賣的招攬及建議行為，並已按照本人之投資意向向本人提供及解釋各類衍生產品所附帶的相關風險。

Yes, I **wish** to trade derivative products at One China Securities Limited(OCSL). I hereby confirm that based on the above assessment, I acknowledge I have experience and/or knowledge on derivative products. I further confirm that I fully understand the relevant risks of the derivative products, which have been explained to me by OCSL. OCSL has not solicited or provided recommendation to me on trading of derivative products.

否，本人無意於一中證券有限公司進行各類衍生產品交易。

No, I **do not wish** to trade derivative products at OCSL.

客戶簽署 Customer Signature

### 其他資料 Other Information

40. 閣下是否本港上市公司之董事或高級行政人員？

Are you a senior officer or director of a company whose shares are listed on The Stock Exchange of Hong Kong Limited?

- 否 No  
 是 Yes

公司名稱 Name of Company :

職位 Position Held :

41. 閣下是否與一中證券有限公司或其附屬公司的僱員有任何關連？

Do you have any relationship with any of the employees of One China Securities Limited or any of the group companies?

- 否 No  
 是 Yes

僱員名稱 Name of Employee :

與僱員關係 Relationship with employee :

42. 閣下或與閣下有相關之人士是否在一中證券有限公司擁有戶口？

Do you or other persons connected to you have any other accounts with One China Securities Limited?

- 否 No  
 是 Yes

戶主姓名 Name of Account : \_\_\_\_\_ 戶口號碼 Account Number : \_\_\_\_\_

戶口類別 Account Type :  現金 Cash  保證金 Margin

43. 閣下是否其他證券公司之僱員及/或僱主或任何根據證券及期貨條例所註冊之人士？

Are you an employee and/or owner of a brokerage firm or a registered person under the Securities and Futures Ordinance?

- 否 No  是 Yes (請提供僱主之授權信 Please attach an authorization letter from your employer)

### 有關最終實益擁有人的聲明 Ultimate Beneficiary Declaration

按香港證監會規定，如帳戶持有人只屬「代理人」，則該帳戶持有人必須提供帳戶「真正」擁有人(即帳戶利益的最終實益持有人)的身份資料。  
 The SFC in Hong Kong requires the account holder(s) to disclose the identity of the "real owner" (i.e. the person who enjoys the ultimate benefits of operating the securities account opened in One China securities Limited) if the account holder(s) is only acting as a nominee for such person.

44. 閣下是否一中證券有限公司股票帳戶的最終實益擁有人？

Are you the ultimate beneficial owner of the securities account opened in One China Securities Limited?

- 是 Yes  
 否\*No\*

\*最終權益擁有人姓名 Name of ultimate beneficiary :

中文姓名 Chinese Name : \_\_\_\_\_ 英文姓名 English Name : \_\_\_\_\_

證件號碼 ID/Passport No. : \_\_\_\_\_

### 指定銀行帳戶 Designated Bank Account

銀行帳戶必須為帳戶持有人(見第1項)。我們不接受亦不會處理將資金過戶至第三者銀行帳戶的要求。

Bank account must be held by the account holder(s)(see Part 1). Transfer to third party bank account is not allowed and will not be handled.

45. 銀行名稱 Bank Name

46. 銀行帳戶號碼 Bank Account Number

## 申請網上證券買賣服務 Application for Online Securities Trading Service

### 47. 申請網上證券買賣服務 Apply for Online Securities Trading Service

否 No

是 Yes (請☑選一項 Please ☑ one)

|  |       |   |
|--|-------|---|
|  | \$0   | 查詢戶口狀況 Account Portfolio Status   |
|  | \$268 | 報價 Price Quote  |
|  | \$323 | 報價+圖表+通告(港交所) Price Quote + Chart + Notice (HKEX)                                     |
|  | \$123 | 報價 Price Quote<br>(只限國內登入 For Mainland China Only)                                    |
|  | \$176 | 報價+圖表+通告(港交所) Price Quote + Chart + Notice (HKEX)<br>(只限國內登入 For Mainland China Only) |

### 同時開立手機 App 服務 Also apply for Mobile App Service

否 No

是\*Yes\*

\*必須為網上證券買賣服務客戶，如成功使用手機 App 買賣，月費港幣 5 元。

\* Must also apply for the Online Securities Trading Service, a monthly fee of HK\$5 will be charged for successful use of the App service.

客戶現向貴公司申請網上買賣服務並遵守本協議書之一切交易守則及條款。客戶現確認已明白及接受一切風險及支付不時所需費用(如有)。  
If the client undertakes the above online securities trading service and/or mobile app service, the client understands and agrees to be bound by those terms set out in the terms and conditions of the Trading Agreement. Client understands and agrees to bear the risks and pay for any charges (if any).

## 防止洗黑錢/恐怖份子籌資 Anti-Money Laundering and Counter-Terrorist Financing

48. 客戶是否擔任或曾擔任重要公職或政界人士(包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事等等)，或以上人士之家人(包括配偶、伴侶、子女或父母，或該名個人的子女的配偶/伴侶)及其他關係密切的人？

Is the Client entrusted or has been entrusted with prominent public or political function (includes head of state/government, senior politician, Senior Official of Government, Judicial or Ministry official, senior executive of government-owned corporation, important political party official, etc.), or the family members of the aforesaid person (including spouse, companion, children or parents, or spouse / companion of the children) and other closely connected person?

否 No       是，請說明 Yes, please specify \_\_\_\_\_

49. 客戶的業務性質/職業是否特別容易蒙受較高的洗錢/恐怖分子資金籌集風險或接觸大量現金往來？如現金密集型業務(包括找換店、賭場及其他博彩相關業務)、昂貴或名貴商品經銷商(包括藝術品及古董經銷商及拍賣行，名貴金屬、寶石或珠寶經銷商)或不受監管的慈善團體及其他不受監管的非牟利組織。

Is the nature of the Client's business / occupation particularly susceptible to money laundering / terrorist financing risk or related to large amount of cash transaction? Such as cash intensive business (Includes money changer, casino and other gambling related business), dealers in high value or precious goods (includes art and antique dealers and auction houses; dealers in precious metals, stones or jewels) or unregulated charities and other unregulated non-profit organizations.

否 No       是，請說明 Yes, please specify \_\_\_\_\_

## 美國海外帳戶 FATCA 身分聲明書(個人) FATCA Self-Certification (Individual)

美國指標問卷(必須作答) U.S. Indicia Questionnaire (Mandatory)

本部分允許您根據<外國帳戶稅務合規法案> (FATCA)申報您的身份。

This section allows you to declare your identity under the Foreign Account Tax Compliance (FATCA) classification.

50. 美國公民/繳納美國稅務的居民 (如美國護照/綠卡持有者、美國納稅人等)?

U.S. citizenship/tax residency (e.g. U.S. passport/Green Card Holder、U.S. taxpayer, etc.)?

是 Yes  否 No

51. 美國出生地? U.S. place of birth?

是 Yes  否 No

52. 美國地址(如居住地址、郵寄地址、P.O.郵箱)? U.S. address (e.g. residential address, mailing address, P.O. Box)?

是 Yes  否 No

53. 美國電話號碼(如住宅、工作、行動、傳真號碼)? U.S. telephone number (e.g. home, work, mobile, fax numbers)?

是 Yes  否 No

54. 從一中證券有限公司向某美國銀行帳戶發出重覆的款項轉帳指示? Standing instruction to pay amounts from One China Securities Limited Account to an account maintained in the U.S.?

是 Yes  否 No

55. 帳戶的獲授權人為美國地址的人士? A current power of attorney or signatory authority granted to a person with U.S. address?

是 Yes  否 No

56. 郵件轉換或保留地址為單一並為美國地址? An U.S. "in care of" address or a "hold mail" address that is the sole address identified?

是 Yes  否 No

### 身份聲名 FATCA Identity Declaration FATCA (只需選擇一項 Please select ONE only)

57. 須額外提交表格作開戶之用 Additional Form Required for Account Opening

(a) 美國人士

U.S. Individual

W-9 Form 表格

(b) 非美國人士, 及沒有美國指標

Non-U.S. Individual with

no U.S. indicia

No 不需要

(c) 非美國人士, 但具有美國指標

Non-U.S. Individual with

U.S. indicia

W-8 BEN Form 表格

本人了解並同意一中證券有限公司(以下簡稱「貴公司」)為證實上述聲明內容得於必要時向本人索取相關證明文件; 得代理本人向美國稅法的扣繳義務人出示本聲明書或交付本聲明書之複本以協助本人聲明非屬美國稅務居民。本人已詳細閱讀美國海外帳戶稅收遵循法案說明書, 美國海外帳戶稅收遵循法條款及有關美國海外帳戶稅收遵循法使用個人資料的客戶通知, 了解並同意其規定與要求。

I understand and agree that One China Securities Limited (or hereafter "the Company") may request additional information to verify the self-certification hereunder, and provide such on behalf of me to withholding agent(s) to prove my identity certified as a Non-U.S. taxpayer. I also have read the Notice of Foreign Account Tax Compliance Act, the Terms and Conditions in relations to Foreign Account Tax Compliance Act of the United States and the Notice to Client – Use of Personal Data relating Foreign Account Tax Compliance Act of the United States, understand and agree to its regulations and requirement.

若上述聲明內容及其他開戶相關文件之資訊產生變動, 而造成本開戶文件不正確或不完整時, 本人至遲應於變更日起 30 天內主動告知 貴公司。本人了解並同意 貴公司有權合理認定上開聲明內容之真偽或變更情形而對本人帳戶權利為必要的處置行為, 包含但不限於辦理美國稅扣繳或終止帳戶服務。

I will inform the Company of any changes on contents made on this self-certification within 30 days of the occurrence, and I understand and agree that the Company has the power and right to verify the validity of the self-certification and modify the rights of the account holder accordingly, including but not limited to withholding U.S. taxes or closing the account according to Chapter 4 of the U.S. Internal Revenue Codes.

申請人 Applicant

\_\_\_\_\_  
簽署 Signature

## 自我證明表格--個人 Self-Certification Form – Individual

重要提示：

Important Notes:

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。  
This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。  
An account holder should report all changes in his/her tax residency status to the reporting financial institution.

居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent("TIN")

請提供以下資料，列明(a)帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(包括香港在內)及(b)該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有(不限於2個)居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to two) jurisdictions of residence.

如沒有提供稅務編號，必須填寫合適的理由：If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

以下是我的稅務居民所屬地及納稅人識別號碼。

Below is/are my tax resident(s) and TIN(s).

|  |                      |
|--|----------------------|
| (1) 稅務居民所屬地<br>Country of Tax Residence _____ 國家 Country | 納稅人識別號碼<br>TIN _____ |
|--|----------------------|

|  |                      |
|--|----------------------|
| (2) 稅務居民所屬地<br>Country of Tax Residence _____ 國家 Country | 納稅人識別號碼<br>TIN _____ |
|--|----------------------|

倘若未能提供 TIN，請提供理由。

If a TIN is not available, please explain.

(1) \_\_\_\_\_

(2) \_\_\_\_\_

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格。

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知一中證券有限公司，並會在情況發生改變後 30 日內，向一中證券有限公司提交一份已適當更新的自我證明表格。

I undertake to advise One China Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide One China Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

Applicant 申請人

Signature 簽署



## 客戶聲明及簽署 Client Declaration and Signature(s)

本人謹此聲明此開戶申請表上填報的資料均屬真實、完全及正確的。本人亦重申一中證券有限公司或其代理人，已獲本人授權，可隨時聯絡本人之銀行、經紀及任何信貸諮詢機構，以作評核本人信貸之用。

本人聲明及承認(1) 本人已閱讀本協議書之英文／中文版本及有關之風險披露聲明；(2) 有關方面已按照本人選擇的語言(英文或中文)向本人提供本協議書之條款、條件及相關之風險披露聲明；(3) 本人確認已收到一份交易條款及守則包括風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見(如本人有此意願)；(4) 本人完全明白所有此等條款及條件，並同意受其約束；及(5) 本人已在下述日期在此文下在此協議書上簽署(及蓋上印章)。

I hereby confirm and represent that the information set out in this client information form is true, complete and correct. I further confirm that One China Securities limited or any of its agents is hereby authorized at any time to contact anyone, including my bankers or brokers or any credit agency, to obtain credit information in assessing my creditworthiness.

I declare and acknowledge that (1) I have read the English/Chinese version of this agreement and relevant risk disclosure statement and (2) the terms and conditions of this agreement and those relevant risk disclosure statement was provided to me in a language of my choice (English or Chinese) and (3) I acknowledged that receipt of a copy of the terms and conditions, including risk disclosure statement and circular relating to personal data (privacy) ordinance and was invited to read the risk disclosure statement, to ask questions and take independent advice (if I wished) and (4) I fully understand all of such terms and conditions and agree to bound by them and (5) I have signed (and sealed) this agreement on the date shown below.

日期 Dated :

簽署，印章及送交之人士為

Signed, sealed and delivered by

\*上述客戶簽名式樣將被用作核證任何就帳戶運作之書面指示。

\* Client signature style will be used for certifying any written instructions on the operation of the account.

帳戶持有人簽署

Signature of Account Holder

見證者為 in the presence of

[見證人姓名、地址及職業]

[Witness Name, Address and Occupation]

姓名 Name : \_\_\_\_\_

地址 Address : \_\_\_\_\_

職業 Occupation : \_\_\_\_\_

見證人簽名

Witness Signature

經由一中證券有限公司承認及接納

Acknowledged and accepted by

**ONE CHINA SECURITIES LIMITED**

授權簽名 / 公司印章

Authorized Signature / Business Chop

### 持牌代表聲明

### DECLARATOIN BY LICENSED REPRESENTATIVE

我經已於香港中環德輔道中 86 號章記大廈 2 字樓 / \_\_\_\_\_

(進行解釋的地址) 按客戶明白的語言向 \_\_\_\_\_ (客戶姓名) 清楚解釋風險披露聲明的內容，並已邀請客戶閱讀該風險披露聲明，提出問題及徵求獨立的意見(如客戶有此意願)。

I have fully explained the contents of the risk disclosure statement to \_\_\_\_\_ (Name of Client) at 2/F.,

Cheong K. Building, 86 Des Voeux Road Central, Central, Hong Kong / \_\_\_\_\_

(Address where the explanation took place) in a language which the client fully understands and have invited the client to read the risk disclosure statements, ask questions and take independent advice (if the client wished).

日期 Date : \_\_\_\_\_

持牌代表簽署 Signed by licensed representative

CE Number : \_\_\_\_\_

持牌代表姓名 Name of licensed representative

(請用正楷)

(In block letters)

\* 備註 / Note : 見證人需為其他註冊人、註冊人的聯繫人士、太平紳士或專業人士，例如銀行分行經理，執業會計師，律師或公證人。

Witness should be any other registered person, an affiliate of a registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

## 只供內部使用

| 處理及覆核文件                                   |  |     |
|---|--|-----|
| 身份證明和開戶文件查核列：                             | 申請人：   | 備註： |
| 1. 身份證明文件 (作為國籍及個人身份之證明；由官方機構發出並附有持證人的照片) | <input type="checkbox"/> 取得                              |     |
| 2. 住址證明 (最近三個月內發出的住址證明副本一份，如電費單或銀行月結單等)   | <input type="checkbox"/> 取得                              |     |
| 3. 美國海外帳戶 FATCA 身份聲明書(個人)                 | <input type="checkbox"/> 已簽署                             |     |
| 4. 自我證明表格--個人                             | <input type="checkbox"/> 已簽署                             |     |
| 5. 持牌人士開戶同意書 (如適用)                        | <input type="checkbox"/> 取得 <input type="checkbox"/> 不適用 |     |
| 6. 申請網上證券買賣服務                             | <input type="checkbox"/> 是 <input type="checkbox"/> 否    |     |
| 7. 遞送帳戶結單                                 | <input type="checkbox"/> 郵寄 <input type="checkbox"/> 電郵  |     |
| 8. 進行衍生產品買賣交易                             | <input type="checkbox"/> 是 <input type="checkbox"/> 否    |     |
| 9. 已將「現金客戶協議及附件」交予客戶                      | <input type="checkbox"/> 是 <input type="checkbox"/> 不適用  |     |
| 個人/信貸審查：                                  | 申請人：   | 備註： |
| 10. 特定美國人                                 | <input type="checkbox"/> 是 <input type="checkbox"/> 否    |     |
| 11. 證監會持牌人士                               | <input type="checkbox"/> 是 <input type="checkbox"/> 否    |     |
| 12. 衍生產品的認識或投資經驗                          | <input type="checkbox"/> 有 <input type="checkbox"/> 無    |     |
| 13. 政治人物                                  | <input type="checkbox"/> 是 <input type="checkbox"/> 否    |     |
| 14. 負面新聞                                  | <input type="checkbox"/> 有 <input type="checkbox"/> 無    |     |
| 15. 從事洗黑錢/恐怖分子籌資高風險行業                     | <input type="checkbox"/> 是 <input type="checkbox"/> 否    |     |
| 16. 來自洗黑錢/恐怖分子籌資高風險國家/地區                  | <input type="checkbox"/> 是 <input type="checkbox"/> 否    |     |
| 17. 防止洗黑錢/恐怖分子籌資資料庫                       | <input type="checkbox"/> 有 <input type="checkbox"/> 無    |     |
| 18. 防止洗黑錢/恐怖分子籌資風險評估                      | <input type="checkbox"/> 高 <input type="checkbox"/> 低    |     |

## 只供內部使用

|                        |      |                            |                |
|------------------------|------|----------------------------|----------------|
| Account introduced by: |      | Name of Account Executive: |                |
| Commission Rate:       | Min. | Commission Plan:           |                |
| Trading Limit:         |      | Penalty Interest Rate      | P +          % |

## 只供內部使用

|            | Approved By | Input By | Checked By |
|------------|-------------|----------|------------|
| Signature: |             |          |            |
| Name:      |             |          |            |
| Date:      |             |          |            |